

03-23-01

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Please type a plus sign (+) inside this box [+]

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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U.S. PTO
03/21/0111033 U.S. PTO
09/814424

03/21/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42390.P11005
(maximum 12 characters)First Named Inventor Francisco A. LeonTitle: METHOD OF FABRICATION TO SHARPEN CORNERS OF Y-BRANCHES IN INTEGRATED OPTICAL
COMPONENTS AND OTHER MICRO-DEVICESExpress Mail Label No. EL431685258USADDRESS TO: **Assistant Commissioner for Patents**
Box Patent Application
Washington, D. C. 20231**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. **Fee Transmittal Form (e.g., PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. **Specification (Total Pages 17)**
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table,
or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. **Drawings(s) (35 USC 113) (Total Sheets 4)**
5. **Oath or Declaration (Total Pages 6)**
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. **DELETIONS OF INVENTOR(S)** Signed statement attached deleting
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)
and 1.33(b).
 - c. Unsigned.
6. **Application Data Sheet. (37 CFR 1.76)**
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & documents(s))
10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
b. Power of Attorney
11. English Translation Document (if applicable)
12. a. Information Disclosure Statement (IDS)/PTO-1449
b. Copies of IDS Citations
13. **Preliminary Amendment**
14. **X** Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**
17. **X** Other: separate title page with express mail certificate, copy of postcard and attorney's signature

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP)
Of Prior Application No.: _____ Examiner _____ Group Art Unit _____
(which is a continuation/ divisional/ CIP of prior application no. _____,
which is a continuation/ divisional/ CIP of prior application no. _____) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is the
assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment
recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____ (or a copy of
which is attached).

19. Correspondence Address

Customer Number or Bar Code Label _____
or _____ (Insert Customer No. or Attach Bar Code Label here)
 Correspondence Address Below

NAME Dennis M. de Guzman

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (425) 827-8600 FAX (425) 827-5644

Name (PRINT/TYPE) Dennis M. de Guzman Registration No.: 41,702
Signature: Dennis M. de Guzman Date: 3/21/01

FEE TRANSMITTAL FOR FY 2001TOTAL AMOUNT OF PAYMENT (\$) 818.00

Complete if Known:

Application No. New Application
 Filing Date Herewith
 First Named Inventor Francisco A. Leon
 Group Art Unit _____
 Examiner Name _____
 Attorney Docket No. 42390.P11005

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
 Deposit Account Name _____

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Check

 Credit Card

 Money Order

 Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity | Small Entity | Fee Description | Fee Paid | | |
|--------------|--------------|-----------------|----------|------------------------------------|---------------|
| Fee | Fee | Fee | | | |
| Code | Code | (\$) | (\$) | | |
| 101 | 710 | 201 | 355 | Utility application filing fee | <u>710.00</u> |
| 106 | 320 | 206 | 160 | Design application filing fee | _____ |
| 107 | 490 | 207 | 245 | Plant filing fee | _____ |
| 108 | 710 | 208 | 355 | Reissue filing fee | _____ |
| 114 | 150 | 214 | 75 | Provisional application filing fee | _____ |

SUBTOTAL (1) \$ 710.00**2. EXTRA CLAIM FEES**

| | | Extra Claims | Fee from below | Fee Paid |
|--------------------|-----------|------------------------|-------------------|-----------------|
| Total Claims | <u>26</u> | $- 20^{**} =$ <u>6</u> | X <u>18.00</u> | = <u>108.00</u> |
| Independent Claims | <u>3</u> | $- 3^{**} =$ <u>0</u> | X _____ | = _____ |
| Multiple Dependent | | | _____ | = _____ |

**Or number previously paid, if greater; For Reissues, see below.

| Large Entity | Small Entity | Fee Description | | |
|--------------|--------------|-----------------|-----|---|
| Fee | Fee | Fee | | |
| Code | Code | (\$) | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$ 108.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| <u>Large Entity</u> | <u>Small Entity</u> | <u>Fee Description</u> | <u>Fee Paid</u> |
|---------------------|---------------------|------------------------|--|
| Fee Code | Fee (\$) | Fee Code (\$) | |
| 105 | 130 | 205 | 65 |
| 127 | 50 | 227 | 25 |
| | | | Surcharge - late filing fee or oath |
| | | | Surcharge - late provisional filing fee |
| | | | or cover sheet |
| 139 | 130 | 139 | 130 |
| 147 | 2,520 | 147 | 2,520 |
| 112 | 920* | 112 | 920* |
| | | | Non-English specification |
| | | | For filing a request for ex parte reexamination |
| | | | Requesting publication of SIR prior to |
| | | | Examiner action |
| 113 | 1,840* | 113 | 1,840* |
| | | | Requesting publication of SIR after |
| | | | Examiner action |
| 115 | 110 | 215 | 55 |
| 116 | 390 | 216 | 195 |
| 117 | 890 | 217 | 445 |
| 118 | 1,390 | 218 | 695 |
| 128 | 1,890 | 228 | 945 |
| 119 | 310 | 219 | 155 |
| 120 | 310 | 220 | 155 |
| 121 | 270 | 221 | 135 |
| 138 | 1,510 | 138 | 1,510 |
| 140 | 110 | 240 | 55 |
| 141 | 1,240 | 241 | 620 |
| 142 | 1,240 | 242 | 620 |
| 143 | 440 | 243 | 220 |
| 144 | 600 | 244 | 300 |
| 122 | 130 | 122 | 130 |
| 123 | 50 | 123 | 50 |
| 126 | 180 | 126 | 180 |
| 581 | 40 | 581 | 40 |
| | | | Recording each patent assignment per |
| | | | property (times number of properties) |
| 146 | 710 | 246 | 355 |
| | | | For filing a submission after final rejection |
| | | | (see 37 CFR 1.129(a)) |
| 149 | 710 | 249 | 355 |
| | | | For each additional invention to be examined |
| | | | (see 37 CFR 1.129(b)) |
| 179 | 710 | 279 | 355 |
| 169 | 900 | 169 | 900 |
| | | | Request for Continued Examination (RCE) |
| | | | Request for expedited examination of a design |
| | | | application |
| 195 | 300 | 195 | 300 |
| | | | Publication fee for early, voluntary, or normal |
| | | | publication |
| 196 | 300 | 196 | 300 |
| 194 | 130 | 194 | 130 |
| 098 | 130 | 098 | 130 |
| 091 | 1,240 | 091 | 1,240 |
| | | | Publication fee for republication |
| | | | Request for voluntary publication or republication |
| | | | Processing fee under 37 CFR 1.17(i) |
| | | | Acceptance of unintentionally delayed claim for priority |

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$ 00.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: Dennis M. de Guzman

Signature: Dennis M. de Guzman Date: 3/21/01

Reg. Number: 41,702 Telephone Number: 425-827-8600

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**METHOD OF FABRICATION TO SHARPEN CORNERS OF Y-BRANCHES
IN INTEGRATED OPTICAL COMPONENTS
AND OTHER MICRO-DEVICES**

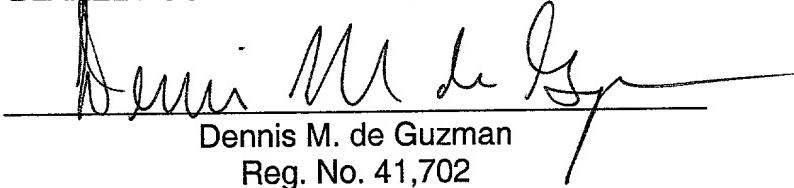
Inventors: Francisco A. Leon and Everett X. Wang

J1033 U.S. Pro
09/014424
03/21/01



Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP


Dennis M. de Guzman
Reg. No. 41,702

"Express Mail" mailing label number: EL431685258US

Date of Deposit: March 21, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Melanie Besecker

(Typed or printed name of person mailing paper or fee)

Melanie Besecker 3-21-01
(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: New Application Filing/Issue Date: Herewith
Client: Intel Corporation

Title: METHOD OF FABRICATION TO SHARPEN CORNERS OF Y-BRANCHES IN
INTEGRATED OPTICAL COMPONENTS AND OTHER MICRO-DEVICES

BSTZ File No.: 42390.P11005 Atty/Secty Initials: DMG: mmb

Date Mailed: March 21, 2001 Docket Due Date:

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- | | |
|--|--|
| <input type="checkbox"/> Amendment/Response (<u> </u> pgs.) | <input checked="" type="checkbox"/> Express Mail No. <u>EL431685258US</u> Check No. _____ |
| <input type="checkbox"/> Appeal Brief (<u> </u> pgs.) (in triplicate) | <input type="checkbox"/> _____ Month(s) Extension of Time Amt: _____ |
| <input checked="" type="checkbox"/> Application - Utility (<u>17</u> pgs., with cover and abstract) | <input type="checkbox"/> Information Disclosure Statement & PTO-1449 (<u> </u> pgs.) <input checked="" type="checkbox"/> Check No. <u>001098</u> |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (<u> </u> pgs.) | <input type="checkbox"/> Issue Fee Transmittal Amt: <u>818.00</u> |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (<u> </u> pgs.) | <input type="checkbox"/> Notice of Appeal |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (<u> </u> pgs.) | <input type="checkbox"/> Petition for Extension of Time |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (<u> </u> pgs.) | <input type="checkbox"/> Petition for _____ |
| <input type="checkbox"/> Application - Design (<u> </u> pgs.) | <input checked="" type="checkbox"/> Postcard |
| <input type="checkbox"/> Application - PCT (<u> </u> pgs.) | <input type="checkbox"/> Power of Attorney (<u> </u> pgs.) |
| <input type="checkbox"/> Application - Provisional (<u> </u> pgs.) | <input type="checkbox"/> Preliminary Amendment (<u> </u> pgs.) |
| <input type="checkbox"/> Assignment and Cover Sheet | <input type="checkbox"/> Reply Brief (<u> </u> pgs.) |
| <input checked="" type="checkbox"/> Certificate of Mailing | <input type="checkbox"/> Response to Notice of Missing Parts |
| <input checked="" type="checkbox"/> Declaration & POA (<u>6</u> pgs.) (<u>unsigned</u>) | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |
| <input type="checkbox"/> Disclosure Docs & Orig & | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate (<u>2 pgs each</u>) |
| Copy of Inventor's Signed Letter (<u> </u> pgs.) | <input type="checkbox"/> Fee Transmittal, in duplicate (<u>2 pgs each</u>) |
| <input checked="" type="checkbox"/> Drawings: <u>4</u> # of sheets includes <u>9</u> figures | <input type="checkbox"/> * separate title page with express mail certificate, |
| <input checked="" type="checkbox"/> Other <u>copy of postcard and attorney's signature (1pg)</u> | |